

Please type a plus sign (+) inside this box [+]

B/21 (12-97)

Approved for use through 10/31/02. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

SECTOR
L# #3

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

JAN 04 2002

PATENT & TRADEMARK OFFICE

U.S. GOVERNMENT PRINTING OFFICE: 2000 50-1000-000-000

Total Number of Pages in this Submission []

Attorney Docket Number

	Application Number	09,863,794
	Filing Date	May 23, 2000
	First Named Inventor	Kenneth A. Krupa
	Group Art Unit	Not yet assigned
	Examiner Name	Not yet assigned
Total Number of Pages in this Submission []	Attorney Docket Number	KRU-3.2.001/3430

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Preliminary Amendment	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input checked="" type="checkbox"/> Affidavits/declaration(s) Executed	<input type="checkbox"/> Petition To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request (1) Month	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) <i>(Please identify below):</i>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<ul style="list-style-type: none">•Check in the amount of \$120.00•Acknowledgment Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> CD, Number of CD(s)_____	
<input type="checkbox"/> Response to Missing Parts Under 37 CFR 1.52 or 1.53		[REMARKS]

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	COBRIN & GITTES Richard M. Lehrer, Reg. No. 38,536
Signature	
Date	October 22, 2001

CERTIFICATE OF MAILING

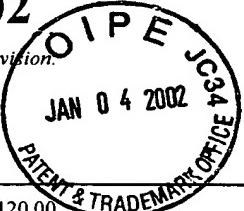
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box _____, Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: [October 22, 2001]

Typed or printed name	Rosemarie Medina
Signature	
	[Date]: October 22, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.



						Complete if Known																	
						Application Number:		09/863,794															
						Filing Date:		May 23, 2000															
						First Named Inventor:		Kenneth Krupa															
						Examiner Name:		Not Yet Assigned															
						Group/Art Unit:		Not Yet Assigned															
TOTAL AMOUNT OF PAYMENT		(\$) 120.00				Attorney Docket No.:		KRU-3.2.001/3430															
METHOD OF PAYMENT (check one)						FEE CALCULATION (continued)																	
<input checked="" type="checkbox"/> [X] The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number: [03-2317] Deposit Account Name: [COBRIN & GITTES]						3. ADDITIONAL FEES																	
<input type="checkbox"/> [X] Charge any additional fee required under 37 CFR 1.16 and 1.17 <input type="checkbox"/> [] Applicant claims small entity status. See 37 CFR 1.27						Large Entity		Small Entity															
Code		(\$)		Code		(\$)		Fee Description		Fee Paid													
105		130		205		65		Surcharge - Late filing fee or oath		65.00													
<input type="checkbox"/> [X] Payment Enclosed: <input checked="" type="checkbox"/> [X] Check <input type="checkbox"/> [] Money Order <input type="checkbox"/> [] Other						127		50		227		25		Surcharge - late provisional filing fee or cover sheet									
						139		130		139		130		Non-English specification									
FEE CALCULATION						147		2,520		147		2,520		Request for Reexamination									
1. BASIC FILING FEE						112		920*		112		920*		Req. publication of SIR prior to Examiner action									
Large Entity		Small Entity																					
Code		(\$)		Code		(\$)		Fee Description		Fee Paid													
101		740		201		370		Utility filing fee		\$		115		110		215		55		Extension within first month		55.00	
106		330		206		165		Design filing fee		\$		116		400		216		200		Extension within second month			
107		510		207		255		Plant filing fee		\$		117		920		217		460		Extension within third month			
108		740		208		370		Reissue filing fee		\$		118		1,440		218		720		Extension within fourth month			
114		160		214		80		Provisional filing fee		\$		119		320		219		160		Notice of Appeal			
						SUBTOTAL (2)		\$ 0				120		320		220		160		Brief in support of an appeal			
2. EXTRA CLAIM FEES						121		280		221		140											
						Extra Claim		Fee below		Fee Paid		138		1,510		138		1,510		Petition to institute a public use proceeding			
Total Claims				-20 =		x		\$		140		110		240		55		Petition to revive - unavoidable					
Indep. Claims				-3 =		x		\$		141		1,280		241		640		Petition to revive - unintentional					
Multiple Dependent								\$		142		1,280		241		640		Utility issue fee (or reissue)					
** or number previously paid, if greater; for reissues, see below								\$		143		460		243		230		Design issue fee					
Large Entity		Small Entity						\$		144		620		244		310		Plant issue fee					
Code		(\$)		Code		(\$)		Fee Description		122		130		122		130		Petitions to the Commissioner					
103		84		203		9		Claims in excess of 20		123		50		123		50		Petitions related to provisional applications					
102		84		202		42		Independent claims in excess of 3		126		180		126		180		Submit Info. Disclosure Stmt					
104		280		204		140		Multiple dependent claim, if not paid		128		40		581		40		Patent Assignment per property		\$			
109		84		209		42		**Reissue independent claims over original patent		146		740		246		370		Filing a submission after final rejection (37 CFR 1.129(a))					
110		18		210		9		**Reissue claims in excess of 20 and over original patent		149		740		249		370		For each additional invention to be examined (37 CFR 1.129(b))					
						SUBTOTAL (2)		(\$)								Other fee (specify)							
**or number previously paid, if greater; For Reissues, see above												*Reduced by Basic filing fee Paid						SUBTOTAL (3)		120.00			
SUBMITTED BY												Complete (if applicable)											
Name (Print Type)		Richard M. Lehrer				Registration Number		38,536				Telephone		(212) 486-4000									
Signature												Date		October 22, 2001									

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENT TO: Assistant Commissioner for Patents,



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kenneth Krupa

Examiner: Not Yet Assigned

Serial No.: 09/863,794

Art Unit: Not Yet Assigned

Filing Date: May 23, 2000

Atty Docket No.: KRU-3.2.001/3430

For: SYSTEM AND METHOD FOR CONVERTING AN XML DATA STRUCTURE INTO
A RELATIONAL DATABASE

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

SUBMISSION OF MISSING PARTS

Sir:

In response to the Notice to File Missing Parts dated July 20, 2001, Applicant submits herewith an executed Declaration and drawing sheets. A check for the surcharge fee of \$65.00 is enclosed herewith.

Applicants respectfully submit that the application is complete, i.e., there are no missing parts.

Respectfully submitted,

Richard M. Lehrer
Reg. No. 38,536
COBRIN & GITTES
750 Lexington Avenue
New York, New York 10022
(212) 486-4000

Date: October 22, 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/863,794	05/23/2001	Kenneth A. Krupa	KRU-3.2.001/3430

CONFIRMATION NO. 9780

FORMALITIES LETTER



OC00000006325945

COBRIN & GITTES
750 Lexington Avenue, 21 Floor
New York, NY 10022

Date Mailed: 07/20/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/14/2002 TV0111 00000007 032317 09863794 FILED UNDER 37 CFR 1.53(b)
01 FC:201 370.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 420.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

01/08/2002 BSAYASI1 00000087 09863794

01 FC:205 65.00 OP

*A copy of this notice **MUST** be returned with the reply.*

McDermott

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

2025 RELEASE UNDER E.O. 14176